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| **Program: Date:** | **Requirement Met?**  **Yes No N/A** |
| 1. **GENERAL REQUIREMENTS** | |
| 1. To ensure only eligible students are being served, does the Adult Education and Literacy (AEL) program have verification documents (e.g. transcripts, drop out documentation, court-referral, etc.) on file for enrolled students under 21? |  |
| 1. Are the requirements of the Americans with Disabilities Act of 1990, as amended, being met? |  |
| 1. Is the AEL program serving individuals in the community in need of literacy services? |  |
| 1. Does the AEL program ensure equitable access for students, instructors, and other program beneficiaries with special needs, regardless of gender, gender identity, race, national origin, color, disability or age (GEPA – General Education Provisions Act)? |  |
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| 1. **FISCAL MANAGEMENT REQUIREMENTS** | |
| **Records Management** | |
| 1. Are the appropriate project codes (state and federal) used to track AEL/Integrated English Language & Civics Education (IELCE) expenditures? |  |
| 1. Does the AEL program track the expenditures and receipts of state/federal funds separately from other funding sources received within its organization? |  |
| 1. Are AEL/IELCE funds used to supplement, not supplant, non-federal funds? |  |
| 1. Are institutionalized expenditures being determined and reported separately? |  |
| 1. Does the host agency’s financial management system provide the following for identification of the AEL/IELCE grant: Catalog of Federal Domestic Assistance (CFDA) Title and Number, Federal Award Identification Number (FAIN), Fiscal Year of Award, Name of Federal Agency, and Name of Pass-Through Entity? |  |
| 1. Does the host agency’s financial management system track year-to-date (YTD) budget and expenditures by line item? |  |
| 1. Do the line item YTD budget and expenditures reported to DESE match the YTD budget and expenditures of the host agency’s financial management system, and the grant final expenditure report (FER)? |  |
| 1. Using the most recent expenditure report submitted to the state AEL office, can the monthly/ quarterly, and year-to-date (YTD) budget and expenditures be tied directly back to the host agency’s financial management system? |  |
| 1. Does the AEL program have adequate documentation to support all expenses reported to the state AEL office (e.g. payroll, travel, supplies, etc.)? |  |
| 1. Is the host agency financial staff familiar with the Code of Federal Regulation’s (CFR), Uniform Grant Guidance (UGG), and Electronic Data Gathering, Analysis, and Retrieval System (EDGAR)? |  |
| 1. Does the AEL program follow record retention guidelines? |  |
| 1. Does the AEL program follow the host agency’s written policies and procedures on cash management, payments, FERs, travel, and procurement including conflict of interest? |  |
|  | **Requirement Met?**  **Yes No N/A** |
| **Time and Effort** | |
| 1. Does the AEL program keep, at a minimum, semi-annual certifications for “salaried” staff who are paid with AEL funds and spend 100% of their time on AEL Admin or spend 100% of their time on AEL Instruction? |  |
| 1. Does the AEL program keep timesheets/personnel activity reports (PAR) for “salaried” staff who work on more than one program (e.g. AEL and Community Education) or cost objective (e.g. instruction and administration) and are paid with AEL funds? The timesheets **must** show how the staff’s time is allocated to the different programs or cost objectives. Reconciliation of payroll and monthly time & effort reports **must** be done at least quarterly. |  |
| 1. Does the AEL program keep documentation to support the number of hours an employee is paid in a pay period for “hourly paid staff”? |  |
| 1. Have any stipends (or extra duty pay) been made to instructors to attend something like a professional development activity? |  |
| 1. If stipends/extra duty pay have been made, is there a written agreement that indicates the work to be performed, date(s) of performance, and the amount to be paid? The agreement **must** be signed by employer and employee. Time and effort documentation must be kept using PARs (timesheets) if paid an hourly rate; or semi-annual time certification if paid as a total amount for “the job”. |  |
| 1. Are AEL instructors paid for planning time? If so, planning time **must** be based on actual hours worked and those hours must be documented. It cannot be based on an assumption of time. |  |
| **Allowable Costs** | |
| 1. Are all expenditures reported allowable and directly attributable to the AEL program, and reported in the correct funding category? |  |
| 1. Are the Category II administrative expenditures no more than the administrative percent approved in the AEL budget for the current FY, and past two FY? |  |
| 1. Does the AEL program have any subcontracts? |  |
| 1. If so, have all subcontracts received prior approval? All subcontractors **must** follow all AEL policies. Ensure this is outlined in the subcontracts. |  |
| 1. Is the AEL program compliant with the state requirement that no AEL funds be used for rent or lease payments? Please note: the AEL program may use AEL funds to pay for costs (i.e. rent) associated with co-location at a Missouri Job Center that is managed by the Local Workforce Development Board (LWDB). |  |
| 1. Does the AEL program pay infrastructure costs for co-location within a Missouri Job Center? |  |
| 1. If so, were the costs negotiated, a MOU signed, and said costs are charged to Category II administrative expenditures? |  |
| 1. Are other costs paid to Job Center? If yes, please list costs here: |  |
| **Equipment** | |
| 1. Does the AEL program maintain an equipment inventory listing for equipment costing more than $5,000 and purchased with AEL funds? Inventory includes all items required (description, serial number, funding source, FAIN, title holder, acquisition date, cost, percentage of Federal participation, location, use/condition, disposition data). |  |
|  | **Requirement Met?**  **Yes No N/A** |
| **Equipment (continued)** | |
| 1. Does the AEL program conduct and document physical inventory reviews of equipment purchased with AEL/IELCE funds at least once every two years? |  |
| 1. Does the host agency have controls/safeguards in place to prevent loss, damage, or theft to equipment purchased with AEL/IELCE funds? |  |
| 1. Are adequate maintenance procedures in place to keep the equipment in good condition? |  |

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| 1. **CERTIFICATION AND PROFESSIONAL DEVELOPMENT REQUIREMENTS** |  |
| 1. Does the AEL program have a succession plan in place? |  |
| 1. Does the AEL program have a system of tracking and recording certification and professional development requirements for all teaching staff? |  |
| 1. Do all instructors have a Missouri AEL Certificate of License to Teach? New hires have four months from hire date to obtain certification. |  |
| 1. Does the AEL program director have a Missouri AEL Certificate of License to Teach? Program Directors have twelve months from hire date to obtain certification. |  |
| 1. Does the AEL program have a process for mentoring instructors during Initial Certification? |  |
| 1. Can the program show evidence of annual performance-based evaluations for instructors during the Initial Certification process? |  |
| 1. Is there adequate documentation for new teachers who attend the Pre-Certification Workshop (PCW) within 4 months of hire date? |  |
| 1. Is there adequate documentation for new directors who attend the PCW within 10 months of hire date? |  |
| 1. Have instructors with Initial Certification attended the Beginning Teacher Assistance Program (BTAP) within twelve months of hire date? |  |
| 1. Do all instructors, Initial Certification and Career Continuous, accumulate and document a minimum of one hundred (100) instructional (teaching) hours per year? AEL Program Directors and instructors serving as WIOA case managers are exempt from this 100 hour requirement. |  |
| 1. Are all instructors meeting the professional development requirements to maintain their certification status? |  |
| 1. If the program uses substitute instructors, are the following criteria met:  * The substitute instructor teaches less than 90 days per year * The substitute instructor teaches only in a class typically taught by an AEL certified teacher. |  |

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| 1. **PROGRAM PERFORMANCE REQUIREMENTS: STUDENT OUTCOMES** |

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|  | **Requirement Met?**  **Yes No N/A** |
| **Data Entry and Management: Literacy, Adult and Community Education System (LACES)** | |
| 1. Are security measures in place to protect personal information of students? |  |
| 1. Is a system in place for effective data collection from classroom to data entry person? |  |
| 1. Is all data entered at least monthly, including daily and/or weekly attendance hours? |  |
| 1. Is a process in place for tracking and documenting student attendance hours? |  |
| 1. For the student sample pulled, is enrollment/demographics/barriers data being tracked an entered accurately? |  |
| 1. For the student sample pulled, is attendance data being tracked an entered accurately? |  |
| 1. For the student sample pulled, is assessment data being tracked an entered accurately? |  |
| 1. Did the AEL program meet the Measurable Skill Gain (MSG) target for the previous two fiscal years? |  |
| 1. Based on the current MSG level, is the AEL program expected to meet the MSG target for this fiscal year? |  |

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| 1. **PROGRAM PERFORMANCE REQUIREMENTS: STUDENT OUTCOMES (continued)** |

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|  | **Requirement Met?**  **Yes No N/A** |
| **Assessment Procedures** | |
| 1. Does the AEL program use the Tests of Adult Basic Education (TABE) to assess Adult Basic Education (ABE)/Adult Secondary Education (ASE) students, and Complete Language Assessment System – English (CLAS E) - to assess English Language Learning (ELL) students? |  |
| 1. Are all assessments administered by an individual who has completed the state mandated training on the [DESE AEL website](https://dese.mo.gov/college-career-readiness/adult-education-literacy/professional-development)? |  |
| 1. Are there sufficient assessment materials provided to meet the needs of the students and instructors in the AEL program? |  |
| 1. Are assessments administered in accordance with the [DESE AEL Assessment policy?](https://dese.mo.gov/media/pdf/ael-fy24-assessment-policy) |  |
| 1. Are proper pre-testing procedures in accordance with the [DESE AEL Assessment policy](https://dese.mo.gov/media/pdf/ael-fy24-assessment-policy)? |  |
| 1. Are proper post-testing procedures in accordance with the [DESE AEL Assessment policy](https://dese.mo.gov/media/pdf/ael-fy24-assessment-policy)? |  |
| 1. Are time limits for assessment administration in compliance with [DESE AEL Assessment policy](https://dese.mo.gov/media/pdf/ael-fy24-assessment-policy)? |  |
| 1. Does the AEL program have a sufficient method of determining test results in a timely manner? |  |
| 1. Are assessment results explained to the student? |  |
| 1. Do certified instructors interpret results of the assessments and counsel students regarding their educational plan? |  |

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| **5. PROGRAM OPERATION REQUIREMENTS: STUDENT SERVICES** | |
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| **Intake/Orientation** | |
|  | **Requirement Met?**  **Yes No N/A** |
| 1. Is all required enrollment and demographic information, including barriers, collected? |  |
| 1. Are barriers described to enrollees during intake? |  |
| 1. Are enrollment forms completed prior to any subtest assessment? |  |
| 1. Does orientation include information regarding Missouri Job Center services, student expectations, attendance policies, information regarding additional services, etc.? |  |
| **Instruction** | |
| 1. Is active instruction observed? |  |
| 1. Are multiple learning strategies used to provide differentiated instruction in the classroom? |  |
| 1. Is tiered instruction observed, including whole group, small group, guided practice, and independent learning? |  |
| 1. Are CCR standards embedded in ABE/ASE student lessons? |  |
| 1. Are instructional activities of sufficient intensity and duration for participants to achieve substantial learning gains? |  |
| 1. Is the Learner’s Educational Guide designed and used in such a way that students’ educational goals/needs and assessment results are used to guide instruction? |  |
| 1. Is the Learner’s Educational Guide designed and used in such a way that student progress is frequently monitored? |  |
| 1. Are Adult Education activities being offered? |  |
| 1. Are Literacy activities being offered? |  |
| 1. Are Workplace Adult Education and Literacy activities being offered? |  |
| 1. Are English Language Acquisition activities being offered? |  |
| 1. Are Workforce Preparation activities being offered? |  |
| 1. Are Integrated Education and Training activities being offered? |  |
| 1. Is the AEL program taking steps to improve the reading, writing, math, and English language arts skills through instruction for the ABE/ASE students? |  |
| 1. Is the AEL program taking steps to improve the reading, listening, speaking, and writing skills through instruction for ELL students? |  |
| **Instruction (continued)** | **Requirement Met?**  **Yes No N/A** |
| 1. Does the AEL program have the ability to serve eligible individuals with disabilities, including eligible individuals with learning disabilities? |  |
| 1. Is the AEL program’s instruction based on the most rigorous research available for reading, writing and math? |  |
| 1. Is the AEL program effectively using technology, services and delivery systems, including distance education, in a manner sufficient to increase the quality of learning, and how such technology leads to improved performance? |  |
| 1. Does the AEL program’s activities provide learning in context so that an individual acquires the skills needed to transition to and complete postsecondary education and/or to obtain an advance in employment? |  |
| 1. Does the AEL program coordinate with other available education, training, and social service resources in the community? |  |
| **Align to Local Workforce Development Board (LWDB)** | |
| 1. Does the AEL program align AEL activities and services with the strategy and goals of the LWDB, as well as the activities and services of the one-stop partners? |  |
| **Referral Process** | |
| 1. Does the AEL program use the LWDB referral policy for appropriate students? |  |
| 1. Are these student referrals entered into LACES? |  |

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| **6. INTEGRATED EDUCATION AND TRAINING (IET)** |

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|  | **Requirement**  **Met?**  **Yes No N/A** |
| **Program Operation** | |
| 1. Are Adult Education & Literacy activities included in the IET(s)? |  |
| 1. Are workforce preparation activities embedded in the IET(s)? |  |
| 1. Are occupational training activities included in the IET(s)? |  |
| 1. Will those who complete the IET program qualify for an occupation? |  |
| 1. Do AEL, workforce prep activities, and occupational training occur simultaneously within the overall scope of the IET program(s)? |  |
| 1. Do the three components function cooperatively throughout the overall scope of the IET? |  |
| 1. If the IET is provided by more than one instructor/trainer, do they collaborate? |  |

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| **7. INTEGRATED ENGLISH LITERACY AND CIVICS EDUCATION (IELCE)** |

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|  | **Requirement**  **Met?**  **Yes No N/A** |
| **Program Operation** | |
| 1. Are only ELL students served by the program? |  |
| 1. Does instruction lead to attainment of HSE and transition to postsecondary education or employment? |  |
| 1. Does the instructional program include instruction in reading, writing, speaking, listening, and understanding English? |  |
| 1. Is there evidence that the program includes instruction on the rights and responsibilities of citizenship and civic participation? |  |
| 1. Is civics education integrated with the English language acquisition instruction? |  |
| 1. Are IELCE program services provided in combination with IET? |  |
| 1. Does the IELCE program co-enroll participants in an IET funded by sources other than grant funds? |  |
| 1. Does the IELCE program use grant funds to support IET programming? |  |
| 1. Does the IELCE program integrate with the LWDB to carry out the program? |  |
| 1. Does the IELCE program prepare ELL students for, and place them in, unsubsidized employment in in-demand industries and occupations that lead to economic self-sufficiency? |  |